SIRIM QAS International Sdn. Bhd.

APPEALS & DISPUTES PROCEDURE

Prepared by	Reviewed and Approved by
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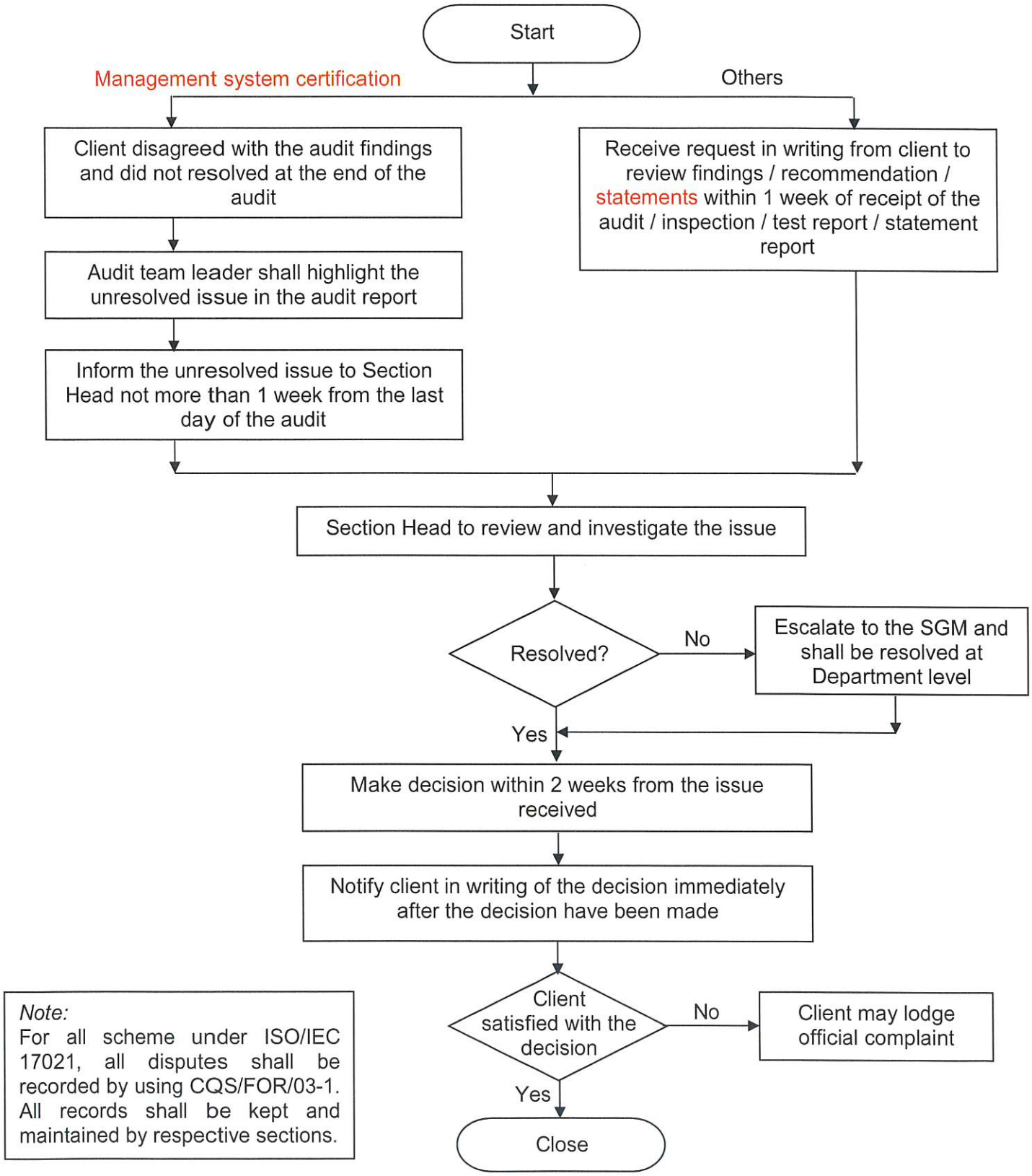
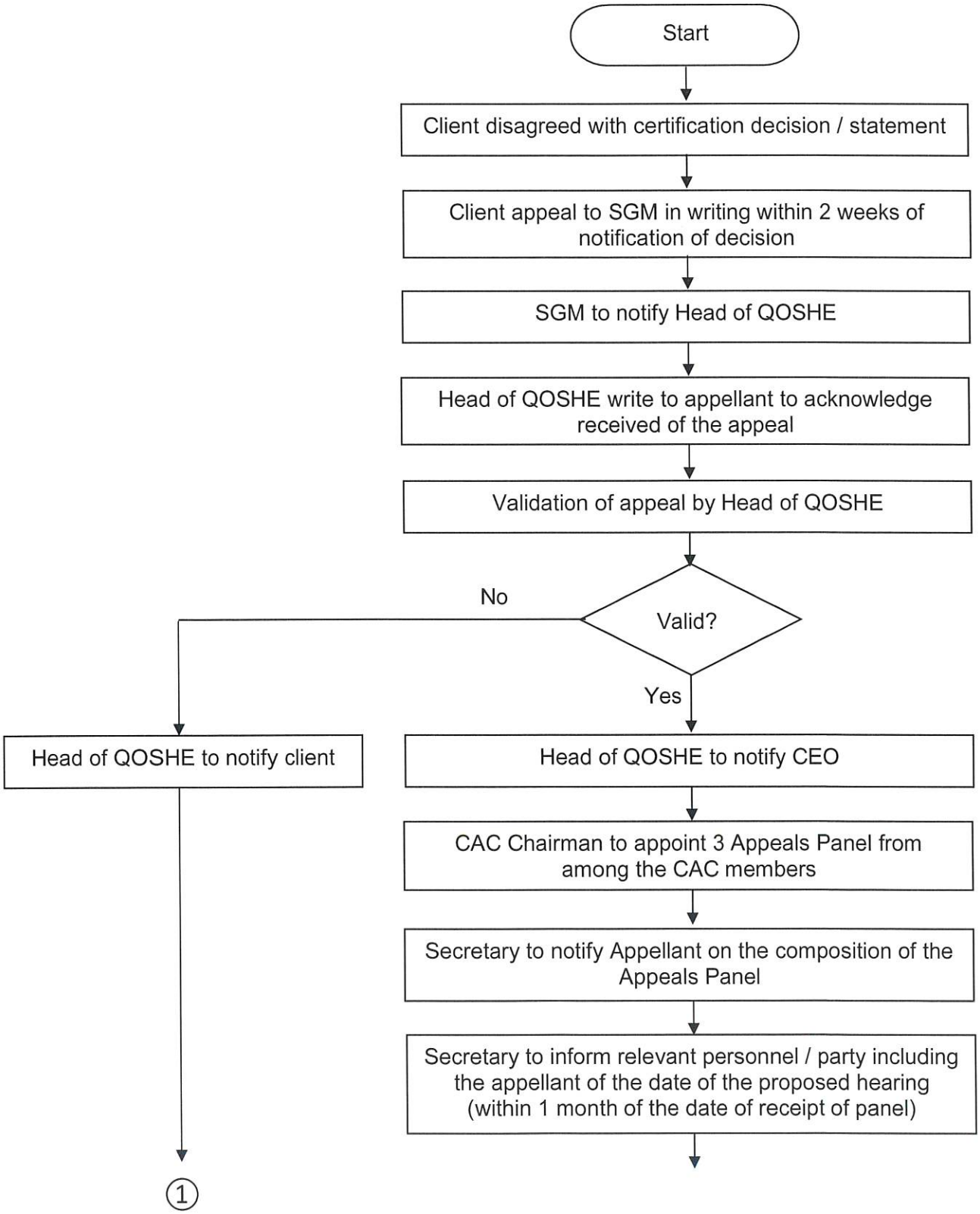
Signature	Signature
Date 15-7-2024	Date 17.7.2024

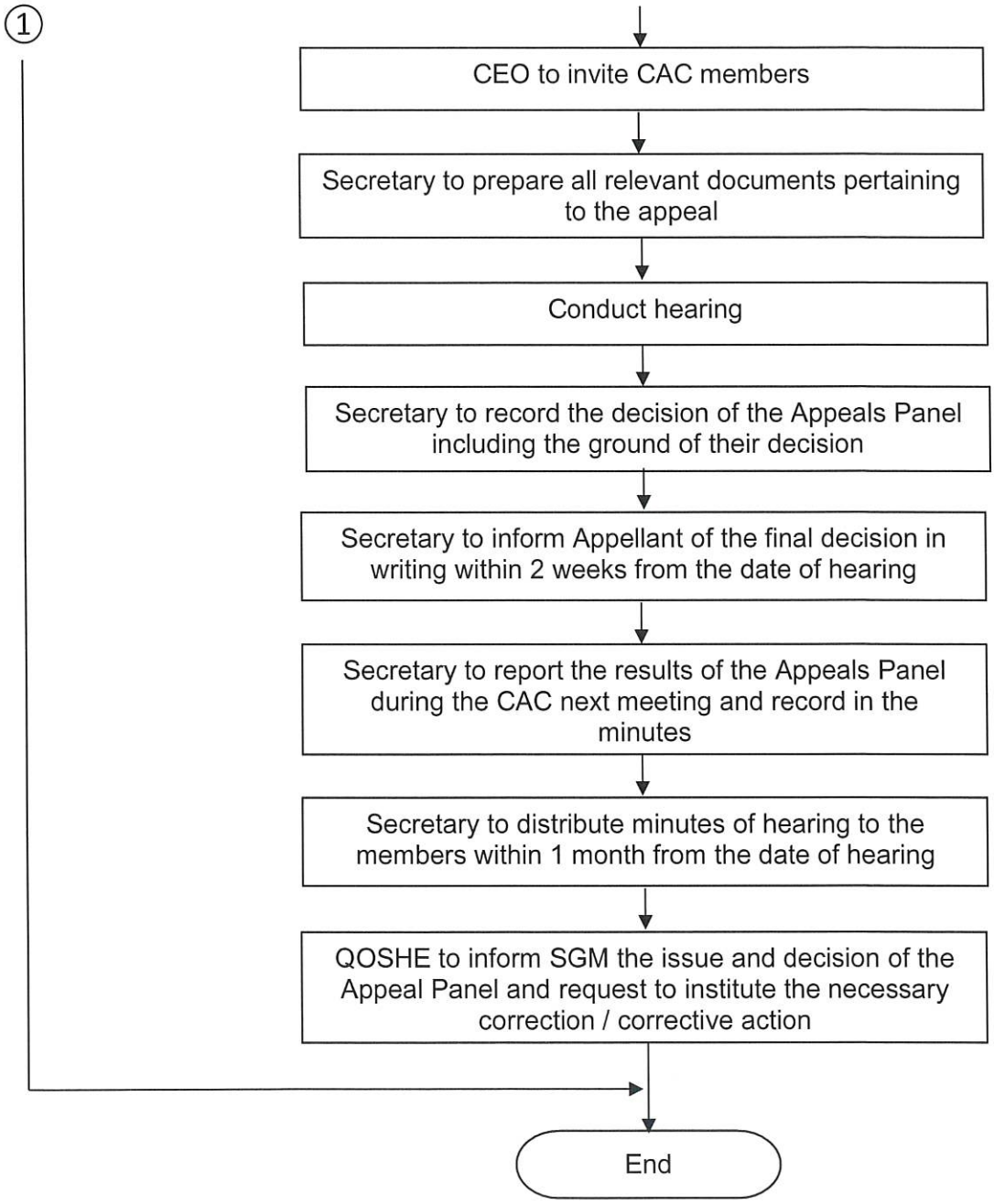
Process Flow: Disputes Handling Process



Note:
For all scheme under ISO/IEC 17021, all disputes shall be recorded by using CQS/FOR/03-1. All records shall be kept and maintained by respective sections.

Process Flow: Appeals Handling Process

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CEO to invite CAC members
Secretary to prepare all relevant documents pertaining to the appeal
Conduct hearing
Secretary to record the decision of the Appeals Panel including the ground of their decision
Secretary to inform Appellant of the final decision in writing within 2 weeks from the date of hearing
Secretary to report the results of the Appeals Panel during the CAC next meeting and record in the minutes
Secretary to distribute minutes of hearing to the members within 1 month from the date of hearing
QOSHE to inform SGM the issue and decision of the Appeal Panel and request to institute the necessary correction / corrective action
End

1.0 PURPOSE

To ensure that appeals and disputes are handled effectively and in accordance with the requirements of company policy and standard requirements.

2.0 SCOPE

This procedure is applicable to all appeals and disputes related to the provision of certification/ inspection/ testing/ validation/ verification services by SIRIM QAS International Sdn. Bhd and its subsidiary. This procedure shall be made available to the public.

3.0 REFERENCES

ISO IEC 17021-1	Conformity assessment – Requirements for bodies providing audit and certification of management system – Part 1: Requirements
ISO IEC 17065	Conformity assessment – Requirements for bodies certifying products, processes and services
MS ISO IEC 17020	Conformity assessment – Requirements for the operation of various types of bodies performing inspection
MS ISO IEC 17025	General Requirements for the Competence of Testing and Calibration Laboratories
ISO IEC 17024	Conformity assessment - General requirements for bodies operating certification of persons
ISO IEC 17029	Conformity assessment – General principles and requirements for validation and verification bodies
SQAS/MSC/PRO/20	Procedure for the Information Security Management System Certification (ISMS)
CQS/PRO/05	Management of Confidentiality and Impartiality

4.0 DEFINITIONS

Appeals	A representation made by a client who does not accept a decision of the Certification Panel or approved signatories of SIRIM QAS International Sdn. Bhd on a product, management system certification or validation and verification.
Disputes	A representation made by a client who does not accept a specific finding or recommendation of a SIRIM QAS International Sdn. Bhd. Lead Auditor or inspector.

Appellant A client who appeals against the decision of the Certification Panel.

Subsidiary Refers to Hunan SIRIM Huasheng Certification and Inspection Co Ltd (SIRIM Huasheng)

5.0 DISPUTES AND APPEALS

5.1 DISPUTES

	Action	Responsibility
5.1.1	Any client who does not accept the findings / recommendations / statements of the Lead Auditor/ Inspector/ Testing Executive/ Validator / Verifier as detailed in the audit/ inspection / test report / statement report may request a review of the findings / recommendations / statements with the relevant Section Head within 1 week of receipt of the report. Request shall be made in writing. Note: For all Medical Device related schemes, in the event of any dispute or disagreement over a classification of a medical device, the matter shall be referred to the Medical Device Authority.	Client
5.1.2	In the case of management system certification, in the event that a client does not agree with an audit finding, and this is not resolved at the end of the audit, the audit team leader shall highlight the unresolved issue in the audit report. The unresolved issue shall be brought to the attention of the Section Head concerned not more than 1 week from the last day of the audit.	Client
5.1.3	The issue raised will be reviewed, investigated and decided by the relevant Section Head. Where necessary, the decision shall be made after consultation with the Senior General manager (SGM) or any other competent person within the organization. All parties involved in the investigation and decision making shall not have been involved in the issue under consideration. A decision shall be made within two weeks of the issue being raised and the client shall be notified in writing of the decision immediately after it has been made.	Section Head / SGM
5.1.4	For a dispute that cannot be resolved at the Section level, it shall be escalated to the SGM and shall be resolved at the Department level.	Section Head / SGM
5.1.5	For all scheme under ISO/IEC 17021, all disputes shall be recorded by using CQS/FOR/03-1. All records shall be kept and maintained by respective sections.	Respective Section Heads

5.1.6	Dispute in test results for testing of samples from complaint and market surveillance shall be resolved within the section or otherwise SGM of TSD shall decide if comparison test at external laboratory is necessary. Dispute shall be made in writing (See 5.1.1).	Section Head / SGM

5.2 APPEALS

5.2.1	When a client does not agree with a certification decision (by Certification Panel or approved signatories) / statement by validation & verification body, the client may appeal to the SGM in writing within 2 weeks of notification of the decision / statement. Note: For all Medical Device related schemes, in the event of any appeal or disagreement over a classification of a medical device, the matter shall be referred to the Medical Device Authority.	QOSHE Head / SGM
5.2.2	The relevant SGM shall notify the Head of QOSHE Section for further action.	Relevant SGM
5.2.3	Head of QOSHE shall write to appellant to acknowledge received of the appeal.	QOSHE Head
5.2.4	The Head of QOSHE shall gather and verify all relevant information to validate the appeal.	QOSHE Head
5.2.5	If the appeal is found not valid, inform the client accordingly.	QOSHE Head

5.3 APPEALS PANEL

5.3.1	In the event of a valid appeal made by a client against a decision of the Certification Panel or approved signatories / statement by validation & verification body, the Chief Executive Officer (CEO) will be notified.	QOSHE Head
5.3.2	Three Appeals Panel shall be appointed from among the Certification Advisory Committee (CAC) members and one of them shall be designated as a Chairman. Members of the Appeals Panel including the Secretary shall not have any vested interests in the issues concerned. The Secretary will invite the members from CAC. The panel is to meet preferably within one (1) month of the date of receipt of the appeal. The Head of QOSHE shall be the Secretary of the appointed panel. If he/she had been involved in the audit/certification decision making, the CEO shall appoint another suitable person as the secretary.	Secretary of Appeal Panel

5.3.3	The appellant shall be notified of the composition of the Appeals Panel. The members of the Appeals Panel, the appellant and any other relevant party (e.g. auditor, Section Head or Chairman of Certification Panel) shall be informed of the date of the proposed hearing. The appellant shall have the right to appear before the panel to present his case.	Secretary of Appeal Panel
5.3.4	The Secretary shall ensure that details pertaining to the issue under appeal are provided to the members of the Appeals Panel before the hearing. Results of previous similar appeals shall be taken into account whenever possible.	Secretary of Appeal Panel
5.3.5	Agenda of the meeting may be as follows: i. Introduction of the case by Secretary ii. Further explanation by Scheme Operator / Service Operator / Decision Maker (if necessary) iii. Presentation by Appellant to defend the appeal iv. Explanation by Scheme Owner (auditor, etc.) v. Further deliberation by Panel vi. Decision by Panel It is compulsory that both sides (i.e., Appellant & Decision Maker / its Representative) to be called into the meeting to present their grounds.	Secretary of Appeal Panel
5.3.6	Decisions made by the Appeals Panel including the grounds of their decision shall be recorded. The decisions of the Appeals Panel shall be final and binding on both parties and shall be determined by a simple majority. The appellant shall be informed of the final decision in writing within 2 weeks from the date of hearing. The results of the Appeals Panel shall be reported during the CAC next meeting and recorded in the minutes. Minutes of the hearing shall be distributed to the members within one (1) month from the date of hearing	Secretary of Appeal Panel

5.4 CONFIDENTIALITY

In handling appeals and disputes, confidentiality shall be safeguarded as required under CQS/PRO/05 – Management of Confidentiality and Impartiality.	QOSHE

5.5 REVIEW

Upon resolving any appeal, the issue and decision of the Appeal Panel shall be informed to the SGM and request to institute the necessary correction /corrective action as appropriate.	QOSHE / Relevant SGM

6.0 APPENDIX/RECORDS

Document Title	Document Reference	Location	Retention period
Letter of appeal/review	N/A	Respective Section / Department	10 years
Minutes of Certification Panel	N/A	Respective Section / Department	10 years
Dispute Report	CQS/FOR/03-01	Dispute File (Respective Section)	10 years
Minutes of Appeals Panel	N/A	QOSHE	10 years
Minutes of Certification Advisory Committee	N/A	QOSHE	10 years